

<b>D</b>	<b>DIVIDEND</b>
<b>T</b>	<b>TRANSFER</b>
<b>P</b>	<b>PLAN</b>

# Enrolment Form

(Please read terms & conditions overleaf)



Enrolment Form No. \_\_\_\_\_

The Application Form should be completed in **ENGLISH** and in **BLOCK LETTERS** only. Please tick in the appropriate box wherever applicable and strike off the section(s) not in use.

KEY PARTNER / AGENT INFORMATION (Investors applying under Direct Plan must mention "Direct" in ARN column.)					FOR OFFICE USE ONLY		
ARN	ARN Name	Sub-Agent's ARN/ Bank Branch Code	Internal Code for Sub-Agent/ Employee	Employee Unique Identification Number (EUIN)	Date of Receipt	Folio No. of Source Scheme	ISC Name & Stamp
ARN-							
<b>Upfront commission shall be paid directly by the investor to the ARN Holder (AMFI registered Distributor) based on the investors' assessment of various factors including the service rendered by the ARN Holder</b>							
<b>Declaration for "execution-only" transaction (only where EUIN box is left blank) (Refer Item No. 16)</b> <b>I / We hereby confirm that the EUIN box has been intentionally left blank by me / us as this is an "execution-only" transaction without any interaction or advice by the employee / relationship manager/ sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee / relationship manager / sales person of the distributor and the distributor has not charged any advisory fees on this transaction.</b>							
Sign Here		Sign Here			Sign Here		
First/Sole Unit holder / Guardian		Second Unit holder			Third Unit holder		

The Trustee

**HDFC Mutual Fund**

Please (✓) any one only

- I / We have read and understood the contents of the Scheme Information Documents of the respective target Scheme(s) and the Statement of Additional Information and the terms & conditions overleaf.
  - I / We hereby apply for enrolment under the DTP of the following Scheme(s) / Plan(s) / Option(s) and agree to abide by the terms and conditions of the respective Scheme(s) / Plan(s) / Option(s). **(New Registration)**. I / We hereby agree that if the dividend in the Source Scheme is less than Rs. 500/- the dividend will be automatically reinvested in the Source Scheme. Please fill up items appearing under (A) and (B) below.
  - I / We hereby apply for cancellation of Enrolment of DTP under the following Scheme(s) / Plan(s) / Option(s). **(Cancellation)**. Please fill up items appearing under (A) [Except PAN details] and (C) below.
- Applicable to PEKRN Holders:** I, the first / sole holder, also hereby declare that I do not hold a Permanent Account Number and hold only a single PAN Exempt Reference No. (PEKRN) issued by KYC Registration Authority and that my existing investments together with the current application will not result in aggregate investments exceeding Rs.50,000/- in a rolling 12 months period or in a financial year.
- Applicable to application under Direct Plan:** I/We hereby declare and confirm that I/We have read and understood the Scheme related documents pertaining to the "Direct Plan" and also confirm that the investments in Scheme through "Direct Plan" is/are made at my own discretion. HDFC Mutual Fund/HDFCAMC/Trustee shall not be liable for any consequences arising out of such investments.

(A) Name of the Applicant	PAN # or PEKRN #	KYC is Mandatory # Please (✓)												
First / Sole Applicant	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>													Proof Attached <input type="checkbox"/>
Guardian (in case First / Sole Applicant is a minor)	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>													Proof Attached <input type="checkbox"/>
Second Applicant	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>													Proof Attached <input type="checkbox"/>
Third Applicant	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>													Proof Attached <input type="checkbox"/>

# Please attach proof. If PAN / PEKRN / KYC is already validated, please don't attach any proof. Refer Item No. 14 and 15.

(B) **Particulars** (If your investment is to or from Direct Plan of the Scheme(s), please mention so clearly.)

1. Folio No. of 'Source' Scheme / Plan / Option (for existing Unit holder) / Application No. (for new investor)	
2. Name of 'Source' Scheme/Plan/Option	
3. Name of 'Target' Scheme/Plan/Option	

(C) **CANCELLATION OF DTP**

Folio No. of 'Source' Scheme / Plan / Option	
Name of 'Source' Scheme/Plan/Option	
Dividend Payment Details (Refer Item No. 13 overleaf)	<input type="checkbox"/> Dividend Payout <input type="checkbox"/> Dividend Re-investment

In case of insufficient space, please fill up separate Enrolment Forms.

_____ First/Sole Unit holder / Guardian	_____ Second Unit holder	_____ Third Unit holder
Please note : Signature(s) should be as it appears on the Application Form and in the same order In case the mode of holding is joint, all Unit holders are required to sign.		

ACKNOWLEDGEMENT SLIP (To be filled in by the Unit holder)

Date :	<b>HDFC MUTUAL FUND</b> Regd. office : Ramon House, 3rd Floor, H.T. Parekh Marg, 169, Backbay Reclamation, Churchgate, Mumbai 400020	Enrolment Form No. _____
Received from Mr./Ms./M/s. _____	'DTP' application for transfer and investment	
of Dividend; from Scheme / Plan / Option _____	ISC Stamp & Signature	
to Scheme / Plan / Option _____	<div style="border: 1px solid black; width: 100%; height: 40px;"></div>	

## TERMS & CONDITIONS FOR DIVIDEND TRANSFER PLAN

1. Dividend Transfer Plan (DTP) is a facility wherein unit holder(s) of eligible scheme(s) [hereinafter referred to as "**Source Scheme(s)**"] of HDFC Mutual Fund can opt to automatically invest the dividend (as reduced by the amount of applicable statutory levy) declared by the eligible Source Scheme(s) into other eligible Scheme(s) [hereinafter referred to as "**Target Scheme(s)**"] of HDFC Mutual Fund. The DTP Facility is available only for units held / to be held in Non - demat Mode in the source and the target Scheme.

2. The following is the list of eligible Source Schemes and Target Schemes of HDFC Mutual Fund for DTP facility:

Source Scheme(s) and Target Scheme(s) includes Direct Plan offered under the respective Scheme(s).

### Source Schemes:

HDFC Growth Fund, HDFC Equity Fund, HDFC Top 200 Fund, HDFC Capital Builder Fund, HDFC Index Fund, HDFC Balanced Fund, HDFC Prudence Fund, HDFC Long Term Advantage Fund\*, HDFC TaxSaver\*, HDFC MF Monthly Income Plan (an open-ended income scheme. Monthly income is not assured and is subject to availability of distributable surplus), HDFC Core & Satellite Fund, HDFC Premier Multi-Cap Fund, HDFC Mid-Cap Opportunities Fund, HDFC Infrastructure Fund, HDFC Focused Large-Cap Fund, HDFC Multiple Yield Fund, HDFC Arbitrage Fund, HDFC Income Fund, HDFC High Interest Fund, HDFC Short Term Plan, HDFC Short Term Opportunities Fund, HDFC Medium Term Opportunities Fund, HDFC Cash Management Fund- Treasury Advantage Plan, HDFC Liquid Fund, HDFC Cash Management Fund-Savings Plan, HDFC Cash Management Fund-Call Plan, HDFC Quarterly Interval Fund, HDFC Gilt Fund, HDFC Floating Rate Income Fund and HDFC Multiple Yield Fund-Plan 2005.

### Target Schemes:

HDFC Growth Fund, HDFC Equity Fund, HDFC Top 200 Fund, HDFC Capital Builder Fund, HDFC Index Fund, HDFC Balanced Fund, HDFC Prudence Fund, HDFC Long Term Advantage Fund\*, HDFC TaxSaver\*, HDFC MF Monthly Income Plan (an open-ended income scheme. Monthly income is not assured and is subject to availability of distributable surplus), HDFC Core & Satellite Fund, HDFC Premier Multi-Cap Fund, HDFC Mid-Cap Opportunities Fund, HDFC Infrastructure Fund, HDFC Focused Large-Cap Fund, HDFC Multiple Yield Fund, HDFC Arbitrage Fund, HDFC Income Fund, HDFC High Interest Fund, HDFC Short Term Plan, HDFC Short Term Opportunities Fund, HDFC Medium Term Opportunities Fund, HDFC Cash Management Fund- Treasury Advantage Plan, HDFC Gilt Fund, HDFC Floating Rate Income Fund, HDFC Multiple Yield Fund- Plan 2005 and HDFC Gold Fund\*\*.

\* an open-ended equity linked savings scheme with lock in period of 3 years

\*\* An open-ended fund of fund scheme investing in units of HDFC Gold Exchange Traded Fund.

The above list is subject to change from time to time. Please contact the nearest Investor Service Centre (ISC) of HDFC Mutual Fund for updated list of the Source Scheme and the Target Scheme.

3. DTP facility is available to unit holder(s) only under the Dividend Plan / Option of the Source Scheme(s). However, the DTP facility will not be available to unit holder(s) under the Daily Dividend Option in the Source Scheme(s). Unit holder(s)' enrolment under the DTP facility will automatically override any previous instructions for 'Dividend Payout' or 'Dividend Reinvestment' facility in the Source Scheme.

4. The enrolment for DTP facility should be for all units under the respective Dividend Plan / Option of the Source Scheme. Instructions for part Dividend Transfer and part Dividend Payout / Reinvestment will not be accepted. The dividend amount will be invested in the Target Scheme under the same folio. Accordingly, the unit holder(s) details and mode of holding in the Target Scheme will be same as in the Source Scheme.

5. The enrolment to avail of DTP facility has to be specified for each Scheme/Plan/Option separately and not at the folio level.

6. Under DTP, dividend declared (as reduced by the amount of applicable statutory levy) in the Source scheme (subject to

minimum of Rs. 500/-) will be automatically invested into the Target Scheme, as opted by the unit holder, on the immediate next Business Day after the Record Date at the applicable NAV of the Target Scheme, subject to applicable load as specified under point 9 below and accordingly equivalent units will be allotted in the Target Scheme, subject to the terms and conditions of the respective Target Scheme.

For example: If the Dividend Record Date of the Source Scheme is December 21 (Friday) and the next Business Day of the Target Scheme (non-Liquid scheme) is December 24 (Monday), the unit holder will be allotted units in the Target Scheme at the closing NAV of December 24 (Monday).

7. The provision for '**Minimum Application Amount**' specified in the respective Target Scheme's Offer Document will not be applicable under DTP e.g. the minimum application amount for new investors in HDFC Equity Fund - Growth Plan is Rs.5,000/-. However in case of DTP, an Unit Holder can avail of the facility irrespective of the amount of dividend (subject to a minimum of Rs. 500/-).

8. The Minimum amount of dividend eligible for transfer under Dividend Transfer Plan is Rs. 500/- (Rupees Five Hundred Only). If the dividend in the Source Scheme is less than Rs. 500/- the dividend will be automatically reinvested in the Source Scheme.

### 9. Load Structure (Target Scheme):

The dividend amount to be invested under the DTP from the Source Scheme to the Target Scheme shall be invested by subscribing to the units of the Target Scheme at applicable NAV, subject to payment of **Entry/Exit Load** as under:

#### Entry Load:

Direct Applications & Applications routed through any distributor/agent/broker : Not applicable.

#### Exit Load: Nil.

The Trustee reserves the right to change the load structure under the DTP facility at any time in future on a prospective basis.

10. Unitholders who wish to enroll for DTP facility are required to fill DTP Enrolment Form available with the ISCs, distributors/agents and also displayed on the website [www.hdfcfund.com](http://www.hdfcfund.com). The DTP Enrolment Form should be completed in English in Block Letters only. Please tick (✓) in the appropriate box (□), where boxes have been provided. The DTP Enrolment Form complete in all respects should be submitted at any of the Official Points of Acceptance of HDFC Mutual Fund.

11. The request for enrolment for DTP must be submitted at least 10 days prior to the Record Date for the dividend. In case of the condition not being met, the enrolment would be considered valid from the immediately succeeding Record Date of the dividend, provided the difference between the date of receipt of a valid application for enrolment under DTP and the next Record Date for dividend is not less than 10 days.

12. Unitholder(s) are advised to read the Scheme Information Documents of Target Scheme(s) carefully before investing. The Scheme Information Documents / Key Information Memorandum(s) of the respective Scheme(s) are available with the ISCs of HDFC Mutual Fund, brokers / distributors and also displayed on the HDFC Mutual Fund website i.e. - [www.hdfcfund.com](http://www.hdfcfund.com).

13. Unit holders will have the right to discontinue the DTP facility at any time by sending a written request to the ISC. Notice of such discontinuance should be received at least 10 days prior to the Dividend Record Date. On receipt of such request, the DTP facility will be terminated. At the time of discontinuation of DTP facility, the Unit holders should indicate their choice of option i.e. dividend reinvestment or dividend payout. In the event the Unitholder does not indicate his choice of dividend option, the dividend, if any, will be reinvested (compulsory payout if dividend reinvestment option is not available) in the Source Scheme. Once the request for DTP is registered, then it shall remain in force unless it is terminated as aforesaid.

### 14. Permanent Account Number (PAN)

SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention his/her permanent account number (PAN) {Except as mentioned below} irrespective of the amount of investment. Where the applicant is a minor, and does not possess his / her own PAN, he / she shall quote the PAN of his/ her father or mother or the guardian, as the case may be. Applications not complying with the above requirement may not be accepted/ processed. PAN card copy is not required separately if KYC acknowledgement letter is made available.

For further details, please refer Section 'Permanent Account Number' under Statement of Additional Information available on our website [www.hdfcfund.com](http://www.hdfcfund.com).

### PAN Exempt Investments

PAN Exempt KYC Reference Number (PEKRN) holders may enroll for this facility. For further details on PAN exempt Investments, refer Instructions of Scheme Application Form or Statement of Additional Information. However, if the amount per transfer is Rs.50,000 or more, in accordance with the extant Income Tax rules, investors will be required to furnish a copy of PAN to the Mutual Fund.

### 15. Know Your Customer (KYC) Compliance:

Investors should note that it is mandatory for all registrations for Swing STP to quote the KYC Compliance Status of each applicant (guardian in case of minor) in the application and attach proof of KYC Compliance viz. KYC Acknowledgement Letter. For more details, please refer to the Statement of Additional Information ('SAI') available on our website [www.hdfcfund.com](http://www.hdfcfund.com)

### 16. Investment through Distributors

Agents / distributors are not entitled to sell units of mutual funds unless they are registered with Association of Mutual Funds in India (AMFI). Further, SEBI has made it compulsory for every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the Employee Unique Identification Number (EUID) obtained by him/her from AMFI in the Application Form. EUID, particularly in advisory transactions, would assist in addressing any instance of mis-selling even if the employee/relationship manager/sales person later leaves the employment of the distributor. Hence, if your investments are routed through a distributor, please ensure that the EUID is correctly filled up in the Application Form.

However, if your distributor has not given you any advice pertaining to the investment, the EUID box may be left blank. In this case, you are required to provide a duly signed declaration to this effect, as given in the Form.

These requirements do not apply to Overseas Distributors.

**New cadre distributors:** SEBI has introduced a new cadre of distributors who can sell only 'simple and performing' diversified equity schemes, index funds and fixed maturity plans. There is a pre-fix of "SD" before the ARN number of such distributors. They also hold an EUID which must be quoted in the application form. The list of eligible schemes which may be sold by such distributors is available on [www.hdfcfund.com](http://www.hdfcfund.com). In case your application through such distributor is not for an eligible scheme, it is liable to be rejected.

### Direct Investments

Investors applying under Direct Plan must mention "Direct" in ARN column. In case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan.

17. The Trustee reserves the right to change/modify the terms and conditions of the DTP. For the updated terms and conditions of DTP, contact the nearest ISC or visit our website [www.hdfcfund.com](http://www.hdfcfund.com)